

DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
LOCAL/BRANCH OFFICE

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

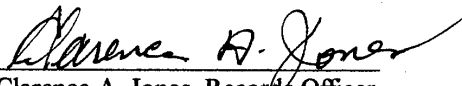
LOCAL/BRANCH OFFICE

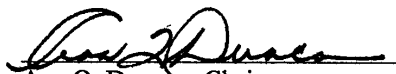
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including machine readable records not listed in this schedule are not authorized to be destroyed.**

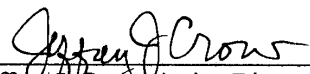
LOCAL/BRANCH OFFICE

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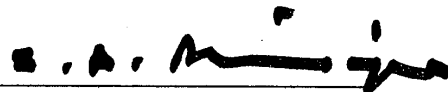
APPROVAL RECOMMENDED

  
Clarence A. Jones, Records Officer  
Employment Security Commission

  
Ann Q. Duncan, Chairman  
Employment Security Commission

  
Jeffrey D. Crow, Acting Director  
Division of Archives and History

APPROVED

  
S. Davis Phillips, Secretary  
Department of Commerce

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

August 4, 1995

JH

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
LOCAL BRANCH OFFICE

Amend the records retention and disposition schedule approved August 4, 1995  
by adding item 38654 as shown on substitute page dated March 21, 1996.


APPROVAL RECOMMENDED

  
~~XXXXXXXXXXXXXXXXXXXX~~  
Employment Security Commission  
MARY SUE D. BROWN, ACTING CHAIRMAN

  
Jeffrey J. Crow, Director  
Division of Archives and History

APPROVED

  
S. Davis Phillips, Secretary  
Department of Commerce

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

March 21, 1996

JH

DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
LOCAL/BRANCH OFFICE

Records Retention and Disposition Schedule

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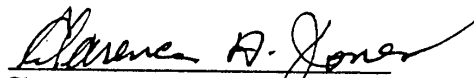
LOCAL/BRANCH OFFICE


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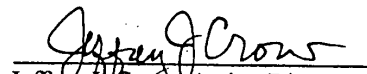
LOCAL/BRANCH OFFICE

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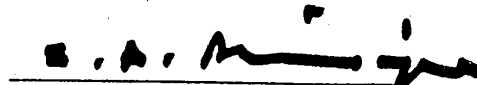
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Clarence A. Jones, Records Officer  
Employment Security Commission

  
Ann Q. Duncan, Chairman  
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Jeffrey D. Crow, Acting Director  
Division of Archives and History

APPROVED

  
S. Davis Phillips, Secretary  
Department of Commerce

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

August 4, 1995

This schedule was modified to  
comply with the provisions of the  
*General Schedule for State Agency Records*,  
effective October 1, 2000  
Remaining items retain the  
original date shown below.

JH

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
LOCAL/BRANCH OFFICES**

**ITEM 14724. REGIONAL MANAGER'S FILE.**

Records concerning the administration of all Employment Security Commission local and branch offices located within area. File concerns the administration of each employment security program by each local and branch office, personnel matters, budgets, and other related matters. File includes correspondence, reports, publications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 14725. LOCAL AND BRANCH OFFICE ADMINISTRATIVE FILE.**

Records concerning the organization and daily operation of local and branch offices. File concerns leave, travel, budgets, equipment and supplies, printing and publications, building maintenance, and other subjects. File includes correspondence, memorandums, reports, requisitions, publications, news releases, inventories, and other related records.

DISPOSITION INSTRUCTIONS: Comply with instructions of agency personnel/fiscal office for disposition of leave records. Destroy in office financial-related records when released from all audits. Destroy in office remaining records after 18 months.

**ITEM 14726. EMPLOYMENT PROGRAMS FILE.**

Reference information concerning employment programs. Programs include counseling, veterans placement, Job Training Partnership Act (JTPA), institutional training, Summer Youth Program, and other programs. File includes correspondence, bulletins, regulations and guidelines, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 18 months or when superseded.

**ITEM 14727. UNEMPLOYMENT INSURANCE FILE.**

Records concerning local and branch offices participation in the Unemployment Insurance Program. File includes letters, inquiries, and correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office after 18 month(s).

**ITEM 14730. LOCAL OFFICE REFERENCE FILE.**

Reference information concerning subjects pertinent to local or branch offices operations. Subjects regard employees' associations, labor market trends, labor supply and demand, wages and hours, employers' opinions, labor turnover, and other subjects. File includes reports, summaries, surveys, and publications.

DISPOSITION INSTRUCTIONS: Destroy in office after 18 month(s).

**ITEM 14733. EMPLOYERS' CORRESPONDENCE FILE.**

Local or branch offices correspondence to and from active or potential employers located within the jurisdiction of office. File includes agreements and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office agreements 3 years after expiration. Destroy in office correspondence and other records after 18 months.

**ITEM 14736. EMPLOYERS FILE.**

Records concerning employers located within the jurisdiction of local or branch offices. File includes identification information and addresses, labor force and salary information, identification of contact personnel, contact reports, records indicating whether or not employer holds federal contract, and other pertinent data. (Employers are separated into categories by number of personnel employed.)

DISPOSITION INSTRUCTIONS: Transfer to Inactive Employers File (Item 14737) when designated inactive.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
LOCAL/BRANCH OFFICES**

**ITEM 14737. INACTIVE EMPLOYERS FILE.**

Records concerning inactive employers located within the jurisdiction of local and branch offices. File includes identification information and addresses, labor force and salary information, reports, and additional data concerning reason for inactive designation (relocation, failure to actively participate, closure, etc.).

DISPOSITION INSTRUCTIONS: Destroy in office after 18 month(s).

**ITEM 14738. JOB BANK FILE.**

Records concerning existing employment opportunities throughout the state and in particular in the area of jurisdiction of the local or branch offices. File includes listings of job opportunities, correspondence, and other data received from employers and potential employers. (Duplicate copies are maintained alphabetically and numerically.)

DISPOSITION INSTRUCTIONS: After attaching job summary descriptions not included on computer printouts to purged order copy, transfer to Purged Job Orders File (Item 14739) when purged job order is produced. Destroy in office remaining records when purged job order is produced.

**ITEM 14739. PURGED JOB ORDERS FILE.**

Computer printouts concerning closed (filled or cancelled) job orders. Each order includes identification of job order and names and identification of individuals referred.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 14740. MICROFICHE WORKING FILE.**

Microfiche concerning employment opportunities available throughout the state and in particular in the area of jurisdiction of local or branch offices. Files include listings of positions available throughout the area and state, alphabetical and numerical listings of local applicants, listings of migrants, position listings without employer information, and state and federal government job openings.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

**ITEM 14741. EMPLOYMENT COUNSELOR'S FILE.**

Records concerning individual counseling provided to applicants for employment services. File includes individual records which include or concern summaries of counseling session, specific skills and problems of applicants, summaries of work history, applicants' socio-economic background factors, test results, employability plan, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after closing of file.

**ITEM 14742. ACTIVE CLAIMANT FILE.**

Records concerning each claimant currently claiming unemployment insurance. Each file (NCUI 505) includes claims forms, wage transcripts, and all other pertinent records. Claims include Trade Readjustment Assistance, Disaster Unemployment Assistance, Unemployment Compensation from Ex-Servicemen, and Unemployment Compensation for Federal Employees.

DISPOSITION INSTRUCTIONS: Transfer to Inactive Claimant File (Item 14743) when designated inactive.

**DEPARTMENT OF COMMERCE  
EMPLOYMENT SECURITY COMMISSION  
LOCAL/BRANCH OFFICES**

**ITEM 14743. INACTIVE CLAIMANT FILE.**

Records concerning each former claimant for unemployment insurance. Claims include Trade Readjustment Assistance (TRA), Disaster Unemployment Assistance (DUA), Unemployment Compensation for Ex-Servicemen (UCX), and Unemployment Compensation for Federal Employees (UCFE).

DISPOSITION INSTRUCTIONS: Destroy Trade Readjustment Assistance (TRA) and Disaster Unemployment Assistance (DUA) claim records in accordance with current instructions from Employment Security Commission main office. Destroy in office Unemployment Compensation for Ex-Servicemen (UCX) and Unemployment Compensation for Federal Employees (UCFE) claims records 5 years after effective date of claim. Destroy in office remaining records 2 years after effective date of claim.

**ITEM 14744. FIELD TAX AUDITOR'S STATUS REPORT FILE.**

Reference information concerning each employer liable for unemployment tax. Information includes each employer's name and address, federal identification number, description of business, number of employees, and other pertinent data.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after designated inactive.

**ITEM 14746. FIELD TAX AUDITOR'S UNCOLLECTABLE EXECUTIONS FILE.**

Reference information concerning employers with delinquent unemployment insurance accounts that have been designated uncollectable. Information includes each employer's name, address, account number, value of assets, listing of liens, amount owed unemployment insurance fund, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office 10 years after receipt of records.

**ITEM 14747. FIELD TAX AUDITOR'S LEGAL REFERENCE FILE.**

Reference copies of legal opinions and interpretations by Legal Counsel Division that affect the Employment Security Commission.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 14752. RURAL MANPOWER REPRESENTATIVES' FILE.**

Reports and reference copies of records concerning area administration of the Rural Manpower Program (formerly Farm Labor Service) to promote employment in rural areas. File includes correspondence, reports, reference publications, working papers, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 14753. FRAUD INVESTIGATIONS FILE.**

Reference information concerning investigations of fraud by employers and applicants used to collect employment security payments. File includes investigative reports, verification records, correspondence, working papers, interview transcripts, claim record folders, unemployment payment printouts, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after the last week for which benefits were claimed.

**ITEM 14755. FOOD STAMPS FILE.**

Reference information concerning individual participation in the Food Stamp Program which provides food stamps to qualified applicants who sought employment. File includes assessments for individual recipients and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office records concerning each individual's participation 3 years after date of last transaction.

**DEPARTMENT OF COMMERCE  
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**ITEM 14756. INSTITUTIONALIZED OFFENDER FILE.**

Reference information concerning local office administration of the Institutionalized Offender Project, a program designed to identify and place suitable prison inmates in jobs. File includes correspondence, reports, enrollment and eligibility forms, counseling records, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

**ITEM 14757. TEST ADMINISTRATOR'S FILE.**

Reference copies of testing instructions, procedures, and manuals maintained by test administrator for reference purposes. File includes current scoring keys.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 14758. APTITUDE TEST ANSWER SHEETS FILE.**

Completed employment aptitude tests.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 14759. CLERICAL TESTS FILE.**

Completed clerical skills tests.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 14760. JOB TRAINING PARTNERSHIP ACT (JTPA) PARTICIPANT FOLDER FILE.**

Records concerning participants' enrollment and participation in a JTPA program. Each folder includes correspondence and other data concerning JTPA enrollment and participation. (JTPA participant folder files are to be maintained for all JTPA participants regardless of component assignment.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

**ITEM 14761. ON-THE-JOB TRAINING (OJT) SUBCONTRACT FILE.**

Records concerning each Job Training Partnership Act/On-the-Job Training subcontract funded by local/branch offices. File includes correspondence and related forms.

DISPOSITION INSTRUCTIONS: Destroy in office 3 year(s) after termination of agreement/contract if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 14764. JOB TRAINING PARTNERSHIP ACT (JTPA) APPLICANT FILE.**

Applications for participation in JTPA programs received from individuals who are designated ineligible and from eligible but not enrolled individuals.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 38654. TARGETED JOBS TAX CREDIT (TJTC) PARTICIPANT FILE.**

Records concerning a federal program which allows employers a 50% tax credit toward individuals' salaries if they employ disadvantaged youths, Vietnam veterans, ex-felons, vocational rehabilitation referrals, youth co-op students, SSI recipients, general assistance recipients, WIN/AFDC recipients, and Summer Youth. File includes vouchers, characteristics sheets, and tax credit certifications. Amended 3-21-96

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.